

#9

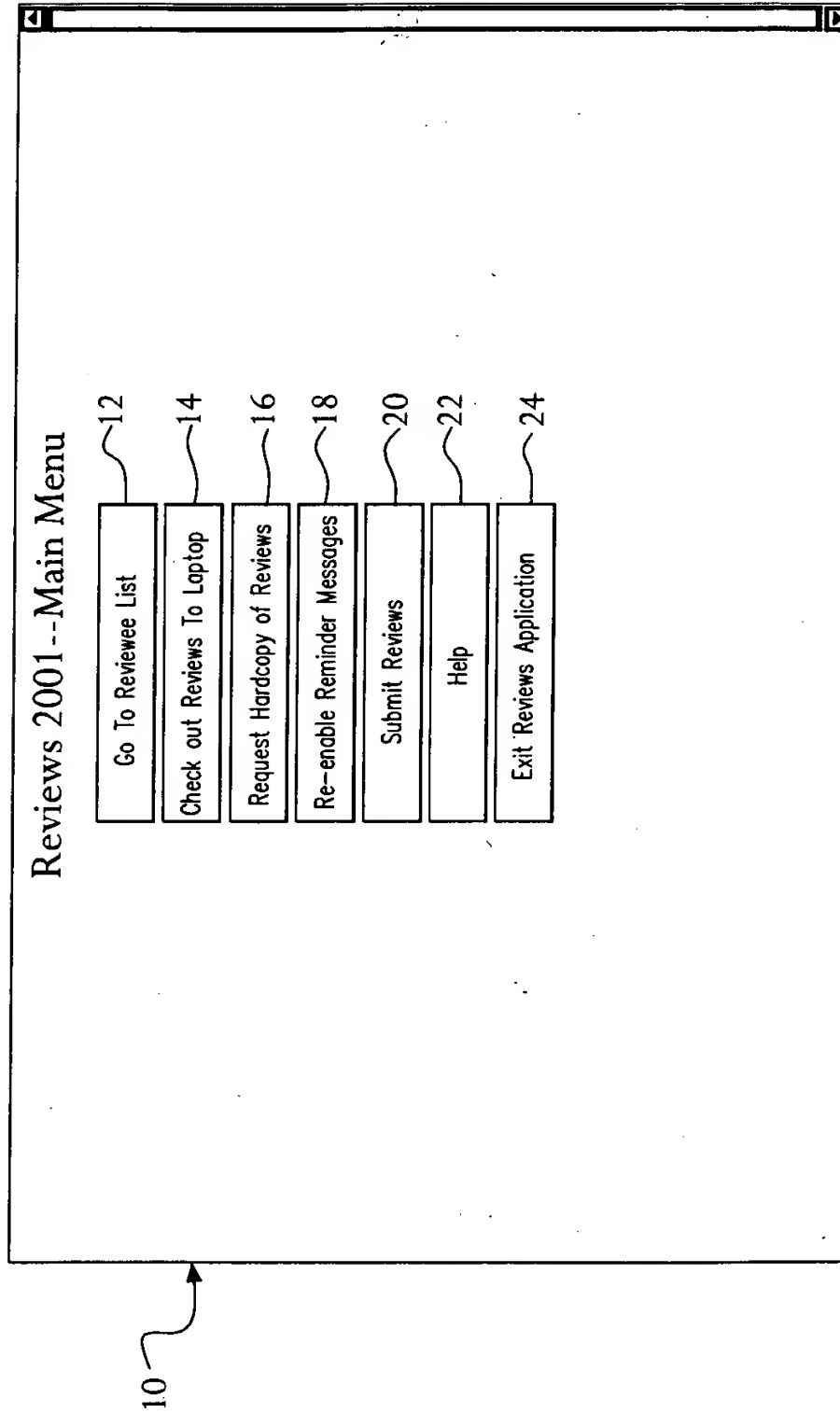


FIG. 1

Figure 2 is a screenshot of a computer screen displaying a software application window titled "Reviews 2001 - Category Listing". The window is divided into several sections. At the top, there is a "Reviewer" field containing the text "Rosen, David". Below this is a table with two columns: "Reviewee Name" and "Status". The table lists several reviewees, including "Rosen, David" (Self Evaluation), "Borg, Brian" (Priority Reviews, Unopened), "Bourke, Winny", "Carinthe, Cary", "Chaos, Larry", "Chaos, Larry (BUM)", "Charles, Phil", "Combs, Randy", "Cummings, Posie", "Fallen, George", "Feinstein, Harvey", "Floss, Avery", "Gingers, Fred", "Goins, Bill", "Grange, Gilbert", "Greenfeld, Otto", "Hasselmann, Jean", "Hittell, Keith", and "Hospice, Mary". To the right of the table, there is a section for "Details for: Borg, Brian", showing "Title: Vice President", "Department: ER", and "Location: London". Below this is a text area asking "What he/she indicated in the interaction checklist process:" and a "Client Interaction(s) - Where Available" section. At the bottom of the window, there are buttons for "Open Selected Evaluation", "Print Preview", "Display Overall Performance Summary", "Clear Selected Review", "Spell Check", "Add Reviewee", "Save and Exit to Main Menu", and "Display Review Status Summary".

FIG. 2

Reviewer: Reviewer:

58

Reviews 2001 - Category Listing

Click on a Category Name or Rating to Continue

Key Interaction Information

Review Type: Downward Exposure: Moderate When: Jan 2000-Dec 2000

I. Skills Base

A. Technical Skills	SE	E	M	PM	DNM	N/A	<input type="text" value="X"/>	Exceeds
B. Communication Skills								Rating Not Specified
C. Approach to Work								Rating Not Specified
D. Judgment							<input type="text" value="X"/>	Partially Meets

II. Internal Leadership and Contribution

A. Teamwork	SE	E	M	PM	DNM	N/A	<input type="text" value="X"/>	Rating Not Specified
B. Managerial Skills								Rating Not Specified
C. Leadership Qualities								Rating Not Specified
D. Recruiting, Training and Mentoring								Rating Not Specified

III. Commercial Contribution and External Leadership

A. Execution Skills	SE	E	M	PM	DNM	N/A	<input type="text" value="X"/>	Rating Not Specified
B. Commercial Effectiveness/Marketing Skills								Partially Meets

IV. Trend Since Last Review
Performance Relative to Last Performance Review

Rating Not Specified

V. Overall Performance Rating
Performance Relative to Last Performance Review

Rating Not Specified

54

60

62

64

66

66

FIG. 3

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Reviewer: Combs, Randy

Reviewer: Rosen, David

Key Interaction Information - Must Be Completed

Review Type (select one)

☐ Upward ☐ Peer ☒ Downward

Extends of Exposure (select one)

☐ Extensive ☒ Moderate ☐ Limited

Indicate When You Worked With Reviewee (select one)

☒ All Year ☐ Part of the year

If You Worked With Reviewee Only Part of the Year, Indicate Which Quarters (select ALL that apply)

☒ Jan 2000-Mar 2000 ☒ Apr 2000-Jun 2000 ☒ Jul 2000-Sep 2000 ☒ Oct 2000-Dec 2000

74

Next>>

FIG. 4

Reviewer: Reviewer:

1. Skills Base

A. Technical Skills

ALL BANKERS

- Possesses raw intelligence
- Demonstrates knowledge of finance, accounting and valuation practices necessary to execute assignments
- Embraces new technologies
- Utilizes available tools effectively and creatively

ALL SYSTEMS/ADMIN PROFESSIONALS

- Possesses raw intelligence
- Embraces new technologies
- Utilizes available tools effectively and creatively
- Demonstrates a thorough working knowledge of her/his functional responsibilities
- Evidences the appropriate understanding of the businesses being supported

ADDITIONAL EMPHASIS FOR VICE PRESIDENTS AND MANAGING DIRECTORS

- Demonstrates knowledge of clients' business/industry and products and applies them to solve problems

Performance Rating Relative to Expectations for Peer Group

☐ Substantially Exceeds
 ☒ Exceeds
 ☐ Meets
 ☐ Partially Meets
 ☐ Does Not Meet
 ☐ Unable to Judge

The space below is for feedback you have on this or any other category. Please include specific, actionable input and/or the types of assignment/roles/responsibilities you think would be beneficial to consider in the reviewee's development plan. The comments you enter will accumulate in this box as you enter feedback for one or more categories.

FIG. 5

96 Reviewee: Reviewer: 98

1. Skills Base

A. Core Skills

Performance Rating Relative to Expectations for Peer Group				
Substantially Exceeds	Exceeds	Meets	Partially Meets	Does Not Meet to Judge
<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>

☒ Demonstrates the appropriate understanding of business as well as a strong understanding of services, products and relevant source material.

☒ Output or work orders are accurate, proofread, and completed by established deadline.

☒ Is organized, clear and concise in oral and written communications.

Additional Comments: Please provide below any additional input which should be considered. The comments you enter will accumulate in this box as you enter feedback for one or more categories.

100

102 << Previous

106 Return to Category Listing

108 Hide Comments

104 Next >>

FIG. 6

112 Reviewee: Combs, Randy Reviewer: Rosen, David 114

IV. Trend Since Last Review
Performance Relative to Last Performance Review

116 ☐ Only to be completed if you have a very solid basis for comparison.

110

118 Performance Rating Relative to Last Performance Review

☐ Up ☐ Unchanged ☐ Down ☐ Unable to Judge

120 << Previous Return to Category Listing Enter/Show Comments Next >> 122

124 126

FIG. 7

130

132

Reviewer: Combs, Randy

Reviewer: Rosen, David

V. Overall Evaluation/Future Potential
Effective Aspects of Performance

Top Strengths: Detail below the 3-5 strongest, most effective aspects of the reviewee's performance.

134

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FIG. 8

FIG. 9

FIG. 9

164

Reviewer: Rosen, David

Reviews 2001 - Overall Performance Summary

This grid displays the distribution of the "Overall Performance" ratings you have given to your reviewees. Only those reviews which are either "Completed" or "In Progress" are reflected. Reviews which remain "Unopened" are not included in this summary.

User this summary to confirm that each individual's "Overall Performance" rating is consistent with the ratings you gave her/him in the specific performance categories and that the "Overall" rating you have given your reviewees are calibrated properly -- not only relative to each other but also relative to the standards against which their peers are being measured by all reviewers.

You can return to a specific review to see your category-specific ratings by first clicking on the reviewee's name and then clicking "Open Selected Evaluation" below or double-clicking on the reviewee's name.

Substantially Exceeds	Exceeds	Meets	Partially Meets	Does Not Meet	No Rating Given or N/A
Wonders, Robert	Charles, Phil	Gingers, Fred Marmaduke, Jollie	Agnosk, Edmond Vivadi, Nora	Agnosk, Edmond	Agnosk, Edmond Bourke, Winny Cheos, Larry Combs, Randy Cummings, Posie Fallen, George Feinstein, Harvey Floss, Avery Golts, Bill Grange, Gilbert Greenfield, Otto Hasselmann, Jean

[Open Selected Evaluation](#)

[Return to Reviewee List](#)

166

FIG. 10

168

162

Reviews 2001 - Print Preview

Reviewee: Combs, Randy
Reviewee Dept: HC
Review Title: Vice President
Exposure Level: Moderate
Interaction Period: Jan 2000-Dec 2000

Reviewer: Rosen, David
Reviewee Dept: BBS
Review Title: Vice President
Review Direction: Downward

HIGHLY CONFIDENTIAL

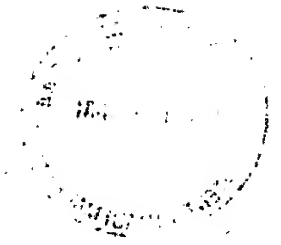
2001 Performance Evaluation Form

	Substantially Exceeds	Exceeds	Meets	Partially Meets	Does Not Meet	N/A
I. Skills Base						
A. Technical Skills	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Communication Skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Approach to Work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Judgment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
II. Internal Leadership and Contribution						
A. Teamwork	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Managerial Skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C. Leadership Qualities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D. Recruiting, Training and Mentoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
III. Commercial Contribution and External Leadership						
A. Execution Skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. Commercial Effectiveness/Marketing Skills	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IV. Trend Since Last Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Performance Relative to Last Performance Review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Preview Next Review

Return to Reviewee list

FIG. 11



180

Reviewer: Rosen, David

Reviews 2001 - Review Status Summary

	Number on Reviewee List	In Progress	Completed	To Be Handwritten
Professional Reviews 2000				
Priority Reviews	45	15	15	0
Additional Reviews Requested of You	10	0	1	0
Reviews You Have Added	25	0	2	0
Total	80	15	18	0
Self Evaluation	1	0	0	0

Return to Reviewee List

178

182

FIG. 12

Reviews 2001 - Add Reviewee

186

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Name	Title	Dept	Location
Haas, Julie	Vice President	CF	New York
Haberman, Paul	Vice President	LEG	New York
Hadon, Simon	Managing Director	HC	New York
Hallman, Vince	Advisor	ICA	London
Hallow, Margaret	Associate	IBS	Stockholm
Halprin, Sinbad	Vice President	FIRG	New York
Hammerstein, Any	Administrator	BSS	London
Hammonds, Carl	Managing Director	IBS	New York
Hanger, Cliff	Analyst	RMG	London
Hans, Dan	Analyst	CF	New York
Hanson, Mary	Associate	AG	Tokyo
Happ, Sal	Associate	MA	New York
Harequin, Nicholas	Managing Director	AG	Tokyo
Harm, Randi	Analyst	CF	Sydney
Harman, Pete	Vice President	CMT	London
Harmon, Robert	Managing Director	CF	New York
Harper, Eileen	Librarian	LIB	New York
Harrison, Jim	Vice President	FIG	New York
Harvey, Bill	Managing Director	CME	New York
Hassan, Herbert	Analyst	PIA	Hong Kong

184

Add Reviewee

Cancel

188

190

FIG. 13

Interaction Checklist

Checklist for: Shoenfeld, Derek
Vice President - SYS

Preloaded Interactions: Summary of Interactions Guidelines

Name/Title	Dept	Office	Client	Product	Reviews Written of You	Reviews Written by You
Abby, Williams Associate	SYS	New York	Company	General Administration	<input type="radio"/> Priority Review <input type="radio"/> Review Requested <input checked="" type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Alari, Sam Associate	SYS	Frankfurt	Company	General Administration	<input type="radio"/> Priority Review <input type="radio"/> Review Requested <input checked="" type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Alps, Andrew Managing Director	IBDMG	New York	Company	General Administration	<input type="radio"/> Priority Review <input type="radio"/> Review Requested <input checked="" type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Anderson, Donald Associates	SYS	New York	Company	General Administration	<input type="radio"/> Priority Review <input type="radio"/> Review Requested <input checked="" type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Ashton, Michael Vice President				General	<input type="radio"/> Priority Review <input checked="" type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed

Section I
Reviews Written of You
Priority Review: 0
Review Requests: 0

Section II
Reviews Written by You
Committed to Write: 0

Interactions per page: 199

Interactions 1 to 199 of 199

Apply

Add Interactions

Help

Clear Interactions

Print Interactions

Remove Added Interaction

Exit Checklist

Show Added Interactions

Submit Checklist

FIG. 14

Interaction Checklist

Checklist for: Shoenfeld, Derek Vice President - SYS		Section I Reviews Written of You Priority Review: 8 Review Requests: 5		Section II Reviews Written By You Committed To Write: 12	
Preloaded Interactions		Summary of Interactions		Guidelines	

Section I

Reviews Written Of You

Priority Reviews (8) Abby, William Alan, Sam Banes, George Bear, B. J. Ferrara, Tom Fiori, Greg Shannon, Rommi Volvano, Bob	Review Requested (5) Anderson, Donald Liddle, Stern Tachis, Chris Williams, Mookie Wolf, Jillian	My Review Not Needed (186) Alps, Andrew Ashton, Michael Aster, Hank Altan, Yan Ayers, Lori Backer, Phil Badge, Jack Band, Adam Banes, Harold Barget, Steve Baste, Michael Beek, Chuck Benten, Jan Bernstein, Rick Bidge, Paul Biggio, Craig Bloch, Carol Breter, Scott Brett, Karl Browne, Jim
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Section II

Reviews Written By You

Reviews I Commit To Write (12) Anderson, Donald Bear, B.J. Ferrara, Tom Fiori, Greg Josephis, Kip Justice, Jake Liddle, Stern Shannon, Rommi Suzuki, Otto Volvano, Bob Wolf, Jillian Wolf, Ashley	My Review Not Needed (188) Abby, William Alan, Sam Ashton, Michael Aster, Hank Altan, Yan Ayers, Lori Backer, Phil Badge, Jack Band, Adam Banes, George Banes, Harold Barget, Steve Baste, Michael Beek, Chuck Benten, Jan Bernstein, Rick Bidge, Paul Biggio, Craig Bloch, Carol Breter, Scott
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222

Help
Print Interactions
Exit Checklist
Submit Checklist

224

228

FIG. 15

Enter Search Criteria:

232

234

236

238

240

242

244

230

Matches: 1 person matched search criteria

Name/Title	Location/Building	Div/Dept
Shoenfeld, Derek Vice President	New York One Liberty Plaza	IB SYS

248

250

Interactions to Add:

Name	Title	Dept
252		

254

256

262

260

258

FIG. 16

Non-Roster Employee Information

<u>Surname:</u>	<input type="text" value="Smith"/>	<u>First Name</u>	<input type="text" value="John"/>
<u>Client:</u>	<input type="text"/>	<u>Product:</u>	<input type="text"/>
<u>Title:</u>	<input type="text" value="Analyst"/>	<u>Office:</u>	<input type="text" value="New York"/>
<u>Division:</u>	<input type="text" value="IB"/>	<u>Department:</u>	<input type="text" value="CF - Corporate Finance"/>

EXPLANATION: Please describe succinctly the nature of your interaction with this person and the significance of his/her input in your performance feedback, including a very brief description of the role/function he or she plays in his/her division.

worked with John for 6 months... |

FIG. 17

Reviews Checklist

Checklist for: **Shera, Art**
Vice President SYS

Preloaded/Added Interactions

Interactions Summary

Instructions

Reviews Written of You

Priority Review: 12
Review Requests: 28

Reviews Written by You

Committed to Write: 49

Name/Dept/Office	Client	Product	Reviews Written of You	Reviews Written by You
Abreu, Robert Associate SYS New York	Company	General Administration	<input checked="" type="radio"/> Priority Review <input type="radio"/> Review Requested <input type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Alkawari, Salah Associate SYS Frankfurt	Company	General Administration	<input checked="" type="radio"/> Priority Review <input type="radio"/> Review Requested <input type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Alper, Andy Managing Director IBDMC New York	Company	General Administration	<input checked="" type="radio"/> Priority Review <input type="radio"/> Review Requested <input type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Andolsen, Daniel Associate SYS New York	Company	General Administration	<input checked="" type="radio"/> Priority Review <input type="radio"/> Review Requested <input type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed
Antoniou, Yiannis Associate SYS New York	Company	General Administration	<input checked="" type="radio"/> Priority Review <input type="radio"/> Review Requested <input type="radio"/> Review Not Needed	<input type="radio"/> Review I Commit to Write <input checked="" type="radio"/> My Review Not Needed

Interactions per page
(0=all):

Page 1 of 9

FIG. 18